

**CALIFORNIA DEPARTMENT OF CHILD SUPPORT SERVICES**

P.O. Box 419064, Rancho Cordova, CA 95741-9064



Date: September 7, 2007

CERTIFICATION LETTER: 07-02

ALL IV-D DIRECTORS

Reason for this Transmittal

- ☐ State Law or Regulation Change
- ☐ Federal Law or Regulation Change
- ☐ Court Order or Settlement Change
- ☐ Clarification requested by One or More Counties
- ☒ Federal Certification

SUBJECT: PROCESS CHANGES REQUIRED FOR FEDERAL CERTIFICATION

The purpose of this letter is to direct all Local Child Support Agencies to adopt or revise processes, as appropriate, to conform with mandates stemming from the ongoing Federal Certification Review. This letter addresses specific certification findings that we expect can be closed once the attached processes are implemented and confirmed by the federal Certification Review Team.

There are three (PD 38, 44, & 45) attachments to the letter, addressing each of the findings. The Required Process section in the attachments has been coordinated with the Federal Certification Review Team, and must be adopted, effective immediately, by all LCSAs before the findings can be closed. The ultimate Federal Certification of California's Alternative System Configuration will not be possible until all findings have been formally closed by the Federal Certification Review Team. Findings have been reviewed in the Certification Workgroup process prior to being finalized and released.

Since the certification review is still in progress, we expect additional findings that will require LCSA process changes. Such findings will be addressed in future letters.

If you have any questions or concerns regarding this matter, please contact Michelle Tedrow at (916) 464-4875.

Sincerely,

WILFRID OTTERBECK  
Deputy Director

Enclosure (3)

**PD 38**

**Certification Requirement #: A-7.b**

The system must establish an automated case record for each application/referral. At a minimum, the system must maintain one year's case history on-line. Previous history may be stored off-line, as long as it is maintained in an easily accessible, automated manner for program and audit purposes.

**Certification Finding**

Certain events are deleted after one year. They are not archived and actually purged from the system. Some events are purged during monthly batch jobs and some are done on a quarterly basis. The only record kept is an event indicating the total number of items purged. (Also applies to certification requirements G-5.b, c, and d). (PD-38)

**Required Process**

LCSAs shall maintain the case history associated with a child support case for a minimum of four years and four months pursuant to California Code of Regulations 22, Sections 111420 (Record Maintenance) and 111450 (Record Retention). Case records subject to a Federal or State audit, or that are pending civil litigation or court order that requires such records, shall be maintained until closure of the applicable action. Systems shall support compliance with this record maintenance and retention requirement.

**PD 44**

**Certification Requirement #: D-3**

The system must update and maintain in the automated case record all information, facts, events, and transactions necessary to describe a case and all actions taken in a case.

**Certification Finding**

The systems have differing case notes for the same action because they are put in at different times by the caseworker. It is recommended that they cut and paste to make sure they are the same at least. (PD-44)

**Required Process**

LCSAs shall document actions in the systems. When it is necessary to enter the same case note in more than one system caseworkers must copy and paste their notes from one system to the other to ensure that identical documentation is reflected for the same actions in the different systems.

**PD 45**

**Certification Requirement #: D-4.c**

The system must perform routine case functions, keep the caseworker informed of significant case events, monitor case activity, provide case status information, and ensure timely case action. The system must provide a daily, automated on-line report/worklist to each worker. Reports must contain at a minimum:

1. Those newly assigned cases requiring some caseworker review or action;
2. Case actions that the caseworker must take;
3. Significant, as defined by the IV D agency, case actions automatically taken by the system that require caseworker review and/or approval; and
4. Significant, as defined by the IV D agency, case actions taken by supporting units that require caseworker review and/or approval.

Note: The intent of the daily automated on-line report/worklist is to provide a means for the caseworker to rapidly respond to those cases needing review or action. Optimally, the on-line report/worklist should provide a means of allowing a caseworker to select a worklist item whereby the system would then automatically navigate the user to the appropriate system function/screen to allow for the respective review and/or action.

**Certification Finding**

Financial adjustment, case closure, and enforcement caseworkers are given paper reports to work from on a daily basis. The worklists are not online. (PD-45)

### **Required Process**

To ensure timely case action, LCSAs are to utilize the online Task List, Event Register List, Activity Logs, Combined Logs and various online reports to review and/or complete routine case functions on a daily basis. The automated online Task List displays case and participant level actions to be completed within set timeframes. The Event Register List displays case and participant level events. The Activity and Combined Logs display all case and participant level activities that have transpired on a case. LCSAs must complete tasks as necessary in response to the alerts/work lists, whether provided online or via a hardcopy report, in compliance with established timeframes. As per instruction received by the Department of Child Support Services from the Federal Office of Child Support Enforcement, LCSAs are instructed to prioritize the use of online work lists rather than paper reports in order to assign and monitor tasks in the most efficient manner.

California Family Code, 17, section 17306(b) states that "The director shall develop uniform forms, policies and procedures to be employed statewide by all local child support agencies". These uniform standards are defined in the Quality Assurance and Program Improvement Program.